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PATENT  
C. McInney  
TO 

jc951 U.S. PTO  
10/18/01

**DOCKET NO. : PUAS-0046**

PATENT  
McHunney  
Jc979 U.S. PRO  
09/982001  
10/18/01

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**In Re Application of:**

**Stephen R. Forrest, Milind R. Gokhale  
and Pavel Studenkov**

**Serial No.:** Not Yet Assigned

**Group Art Unit: Not Yet Assigned**

**Filing Date:** Herewith

**Examiner:** Not Yet Assigned

**For: TWIN WAVEGUIDE BASED DESIGN FOR PHOTONIC INTEGRATED CIRCUITS**

**EXPRESS MAIL LABEL NO: EL827222073US**  
**DATE OF DEPOSIT: October 18, 2001**

Box ☒ Patent Application  
☐ Provisional ☐ Design

Assistant Commissioner for Patents  
Washington DC 20231

**Sir:**

# PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find

☒ A Utility Patent Application under 37 C.F.R. 1.53(b).

It is a continuing application, as follows:

☒ continuation    ☐ divisional    ☐ continuation-in-part of prior application number.

09/337,785. now USPN. 6,381,380

☐ A Provisional Patent Application under 37 C.F.R. 1.53(c).

☐ A Design Patent Application (submitted in duplicate).

☐ **Request for Nonpublication.** The invention(s) disclosed in the present application filed herewith has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing. Thus, pursuant to 35 U.S.C. §122(b)(2)(B)(i), Applicant(s) request that the above-identified patent application not be published.

SECRET

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Including the following:

- ☐ Provisional Application Cover Sheet.
- ☐ New or Revised Specification, including pages \_\_\_\_ to \_\_\_\_ containing:
- ☐ Specification
  - ☐ Claims
  - ☐ Abstract
  - ☐ Substitute Specification, including Claims and Abstract.
- ☐ The present application is a continuation application of Application No. \_\_\_\_\_ filed \_\_\_\_\_. The present application includes the Specification of the parent application which has been revised in accordance with the amendments filed in the parent application. Since none of those amendments incorporate new matter into the parent application, the present revised Specification also does not include new matter.
- ☐ The present application is a continuation application of Application No. \_\_\_\_\_ filed \_\_\_\_\_, which in turn is a continuation-in-part of Application No. \_\_\_\_\_ filed \_\_\_\_\_. The present application includes the Specification of the parent application which has been revised in accordance with the amendments filed in the parent application. Although the amendments in the parent C-I-P application may have incorporated new matter, since those are the only revisions included in the present application, the present application includes no new matter in relation to the parent application.
- ☒ A copy of earlier application Serial No. 09/337,785 filed June 22, 1999, including Specification, Claims and Abstract (pages 1 - 25), to which no new matter has been added TOGETHER WITH a copy of the executed oath or declaration for such earlier application and all drawings and appendices. Such earlier application is hereby incorporated into the present application by reference.

09382001-101801

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- ☒ Please enter the following amendment to the Specification under the Cross-Reference to Related Applications section (or create such a section) : This Application:

*A1* ☒ is a continuation of U.S. Application Serial No. 09/337,785 filed June 22, 1999, <sup>now USPNV. 6,391,380</sup> which claims benefit of U.S. provisional Application Serial No. 60/090,451 filed June 24, 1998.

- ☐ Signed Statement attached deleting inventor(s) named in the prior application.
- ☒ A Preliminary Amendment.
- ☒ Four (4) Sheets of Formal Drawings.
- ☒ Drawing view to publish: Figure 4.
- ☐ Petition to Accept Photographic Drawings.
- ☐ Petition Fee
- ☒ A Copy of ☒ Executed ☐ Unexecuted Declaration or Oath and Power of Attorney.
- ☒ An Associate Power of Attorney.
- ☐ An ☐ Executed ☐ Copy of Executed Assignment of the Invention to \_\_\_\_\_
- ☐ A Recordation Form Cover Sheet.
- ☐ Recordation Fee - \$40.00.
- ☒ The prior application is assigned of record to The Trustees of Princeton University
- ☐ Priority is claimed under 35 U.S.C. § 119 of Patent Application No. \_\_\_\_\_ filed \_\_\_\_\_ in \_\_\_\_\_ (country).
- ☐ A Certified Copy of each of the above applications for which priority is claimed:
- ☐ is enclosed.
- ☐ has been filed in prior application Serial No. \_\_\_\_\_ filed \_\_\_\_\_

FOOTNOTES TO BE PRINTED

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☐ Please enter the following amendment to the first sentence of the specification (or create such a sentence): "This application claims benefit of international application No. \_\_\_\_\_, which was published under PCT Article 21(2) in English."

☒ Applicant(s) by its/their undersigned attorney, claims small entity status under 37 C.F.R. §1.27 as:

☐ an Independent Inventor

☐ a Small Business Concern

☒ a Nonprofit Organization.

☐ Diskette Containing DNA/Amino Acid Sequence Information.

☐ Statement to Support Submission of DNA/Amino Acid Sequence Information.

☐ Sequence listing consisting of pages \_\_\_\_\_.

☐ The computer readable form in this application \_\_\_\_\_, is identical with that filed in Application Serial Number \_\_\_\_\_, filed \_\_\_\_\_. In accordance with 37 CFR 1.821(e), please use the ☐ first-filed, ☐ last-filed or ☐ only computer readable form filed in that application as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application. A paper copy of the Sequence Listing is ☐ included in the originally-filed specification of the instant application, ☐ included in a separately filed preliminary amendment for incorporation into the specification.

☐ Information Disclosure Statement.

☐ Attached Form 1449.

☐ Copies of each of the references listed on the attached Form PTO-1449 are enclosed herewith.

☐ A copy of Petition for Extension of Time as filed in the prior case.

☐ Appended Material as follows: \_\_\_\_\_

☒ Return Receipt Postcard (should be specifically itemized).

☐ Other as follows: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

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## FEE CALCULATION:

- ☒ Cancel in this application original claims 18-40 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

				SMALL ENTITY		NOT SMALL ENTITY	
				RATE	FEE	RATE	FEE
DESIGN APPLICATION				\$165.00	\$	\$330.00	\$
UTILITY APPLICATIONS BASE FEE				\$370.00	\$370.00	\$740.00	\$
UTILITY APPLICATION; ALL CLAIMS CALCULATED AFTER ENTRY OF ALL AMENDMENTS							
	No. Filed	No. Extra					
TOTAL CLAIMS	26- 20 =	6		\$9 each	\$ 54.00	\$18 each	\$
INDEP. CLAIMS	2- 3 =	0		\$42 each	\$	\$84 each	\$
FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM				\$140	\$	\$280	\$
ADDITIONAL FILING FEE					\$		\$
TOTAL FILING FEE DUE					\$424.00		\$

- ☒ A Check is enclosed in the amount of \$ 424.00.
- ☒ The Commissioner is authorized to charge payment of the following fees and to refund any overpayment associated with this communication or during the pendency of this application to deposit account 23-3050. This sheet is provided in duplicate.
- ☐ The foregoing amount due.
- ☒ Any additional filing fees required, including fees for the presentation of extra claims under 37 C.F.R. 1.16.
- ☒ Any additional patent application processing fees under 37 C.F.R. 1.17 or 1.20(d).
- ☒ The Commissioner is hereby requested to grant an extension of time for the appropriate length of time, should one be necessary, in connection with this filing or any future filing submitted to the U.S. Patent and Trademark Office in the above-identified application during the pendency of this application. The Commissioner is further authorized to charge any fees related to any such extension of time to deposit

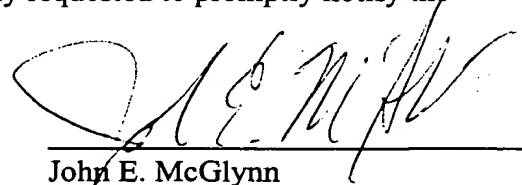
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account 23-3050. This sheet is provided in duplicate.

**SHOULD ANY DEFICIENCIES APPEAR** with respect to this application, including deficiencies in payment of fees, missing parts of the application or otherwise, the United States Patent and Trademark Office is respectfully requested to promptly notify the undersigned.

Date: October 18, 2001



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